

Please type a plus sign (+) inside this box →



PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)		Application Number	09/975,615
		Filing Date	October 10, 2001
		First Named Inventor	VALA, LISA A.
		Group Art Unit	
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	5511USA
<b>ENCLOSURES (check all that apply)</b>			
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group	
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information	
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Change of Correspondence Address	Declaration	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Terminal Disclaimer	Return Post Card	
<input type="checkbox"/> Certified Copy of Priority Documents	<input type="checkbox"/> Request for Refund		
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> CD, Number of CD(s)		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks		
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Firm or Individual Name	GENERAL MILLS		
Signature			
Date	12/12/01		

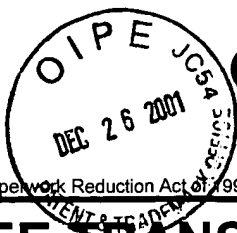
<b>CERTIFICATE OF MAILING</b>	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date:.	
Typed or printed name	Pat Hagglom
Signature	
Date	December 13, 2001

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



30173

PATENT TRADEMARK OFFICE



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/975,615
Filing Date	October 10, 2001
First Named Inventor	VALA, LISA A.
Examiner Name	
Group Art Unit	
Attorney Docket No.	5511USA

TOTAL AMOUNT OF PAYMENT (\$130.00)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:  
Deposit Account Number 07-0900  
Deposit Account Name General Mills
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant Claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit Card ☐ Money ☐ Other Order

## FEE CALCULATION

1. BASIC FILING FEE					
Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1) (\$)					

2. EXTRA CLAIM FEES					
Extra Claims				Fee from below	Fee Paid
Total Claims	-20**	=	x	=	
Indep. Claims	-3**	=	x	=	
Multiple Dependent					
Large Entity Code	Small Entity Code	Fee (\$)	Fee (\$)	Fee Description	
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$)					

\*\*or number previously paid, if greater; For Reissues, see above.

## FEE CALCULATION (continued)

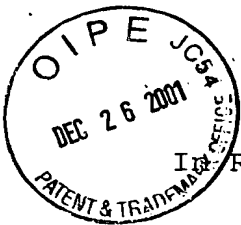
3. ADDITIONAL FEES				Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2520	147	2520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1440	218	720	Extension for reply within fourth month	
128	1960	228	980	Extension for reply within fifth month	
119	310	220	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1510	138	1510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1240	241	620	Petition to revive - unintentional	
142	1280	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129 (a))	
149	710	246	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Advance Copies					
Other fee (specify) -----					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					130.00

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	Michael C. Maier	Registration No.	36,206	Telephone	763-764-2265
Signature		(Attorney/Agent)		Date	12/12/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.





30173

PATENT TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re.: Patent Application of  
VALA, LISA A.  
LEWANDOWSKI, DANIEL J.  
HEDDLESON, RONALD A.  
GUGGER, ERIC T.  
PERDON, ALICIA A.

Serial No.: 09/975,615

Filed: October 10, 2001

For: FOOD PRODUCT FOR LOWERING CHOLESTEROL LEVELS

Docket No.: 5511USA

FILING OF MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Applicant has received a Notice To File Missing Parts Of Application--Filing Date Granted. The notice indicated that the following items were missing:

1. The oath or declaration.

Please find enclosed a Declaration executed by the inventors.

Also enclosed is a copy of the Notice. The fee is herewith made from Deposit Account No. 07-0900.

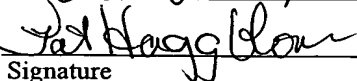
Respectfully submitted,

VALA, LISA A.  
LEWANDOWSKI, DANIEL J.  
HEDDLESON, RONALD A.  
GUGGER, ERIC T.  
PERDON, ALICIA A.

I hereby certify that this document is being deposited with the United States Postal service as first class mail in an envelope addressed to:

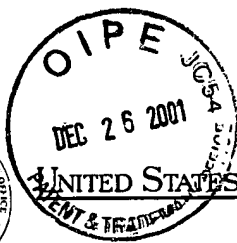
Assistant Commissioner for  
Patents  
Washington, DC 20231

on: December 13, 2001

  
Signature

By 

Michael C. Maier  
Attorney for Applicants  
Reg. No. 36,206  
Minneapolis, MN  
(763) 764-2265  
FAX: (763) 764-2268  
e-mail: mike.maier@genmills.com



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/975,615	10/10/2001	Lisa A. Vala	5511USA

CONFIRMATION NO. 8746

30173  
GENERAL MILLS, INC.  
P.O. BOX 1113  
MINNEAPOLIS, MN 55440

## FORMALITIES LETTER



\*OC000000007070911\*

Date Mailed: 11/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/27/2001 TGEDAMU1 00000149 070900 09975615

01 FC:105 130.00 CH